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Substitute for form 1449A/PTO				Complete if Known Application Number 10/673,125 Filing Date September 26, 2003 First Named Inventor Robert Stanley Tull, Jr. Art Unit 3676 Examiner Name Attorney Docket Number 040173CONCONCONCON	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> (use as many sheets as necessary)					
Sheet	1	of	3		

## U.S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

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		<b>First Named Inventor</b>	Robert Stanley Tull, Jr.
		<b>Art Unit</b>	3676
		<b>Examiner Name</b>	
<b>Sheet</b>	2	<b>of</b>	3
		<b>Attorney Docket Number</b>	040173CONCONCONCON

NON PATENT LITERATURE DOCUMENTS			
Examiner Initials*	Cite No. <sup>1</sup>	include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		United States Patent Application No. 08/223,797, filed April 6, 1994. (Attorney Docket No. 040173).	
		"STANDARD & POOR'S DEPOSITARY RECEIPTS™," "Capture the 'Market' in One Investment," dual sided brochure, 1993, PDR Services Corporation, 4 pages.	
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		MORGAN STANLEY, "OPALS," 11-page brochure.	
		"Financial Instruments Protected," <i>New York Times</i> , December 30, 1989, 1 page.	
		JOHN R. DORFMAN, "Master Limited Partnerships Regain Fans Thanks to Special Treatment of Payouts," <i>The Wall Street Journal</i> , August 19, 1993, p. C1, 2 pages.	
		MICHAEL R. SESIT, "U.S., Europe Take the Lead In Global Stock Investments," <i>The Wall Street Journal</i> , p. C1, 3 pages.	
		MORGAN STANLEY, "OPALS - Composition - Tracking Performance - Pricing - List of Available Securities," dual sided brochure, 4 pages.	
		TRACY CORRIGAN, "Morgan Stanley plans issue of up to \$10bn Opals," <i>The Financial Times Limited</i> , April 30, 1993, p. 27.	
		MORGAN STANLEY CAPITAL (CAYMAN ISLANDS) LIMITED, "Optimised Portfolios As Listed Securities (OPALS™)," Series No.: 7, December 2, 1993, 4 pages.	
		GROUP OF THIRTY, "Clearance and Settlement Systems in the World's Securities Markets," March 1989, 86 pages.	

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		MORGAN STANLEY CAPITAL (CAYMAN ISLANDS) LIMITED, "Optimised Portfolios As Listed Securities ("OPALS" <sup>SM</sup> ) PROGRAMME, December 2, 1993, 27 pages.	
		"Opals System Overview (how we did it)," March 29, 1993, 9 pages.	
		"STANDARD & POOR'S DEPOSITARY RECEIPTS™, ('SPDRs')™ "SPDR Trust Series 1, A Unit Investment Trust," January 22, 1993, 56 pages.	
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		International Search Report for International Application PCT/US 95/04222 dated July 17, 1995, 4 pages.	
		ERIC A. CHIAPPINELLI, "Reinventing A Security: Arguments For A Public Interest Definition," <i>Washington &amp; Lee Law Review</i> , Vol. 49, n3, Summer 1992, pp. 957-985.	
		PETER F. POPE and PRADEEP K. YADAV, "Discovering Errors in Tracking Error," <i>The Journal of Portfolio Management</i> , Winter 1994, pp.27-32.	
		RANDALL SMITH, "IRS Is Abandoning Challenge to Status of Popular LYONs," <i>The Wall Street Journal</i> , January 22, 1992, 1 page.	

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